

SECTION III: FY 2006 NIMS Compliance Guidance for State Agencies

Introduction

State governmental agencies have specific requirements to meet the FY 2006 NIMS requirements. Each agency is encouraged to assemble an internal team to address the requirements. Collectively, when all emergency response agencies within State of California government address these requirements, the State level will be in compliance with NIMS, while reinforcing SEMS consistency.

The FY 2006 State Agency, Local Government, and Tribal Government NIMS requirements matrices are located in the supporting materials section of this workbook – see the following:

Section VI. Supporting Materials section – *State Agency, Local Government, and Tribal Government NIMS Requirements and Implementation Activities.*

The comprehensive jurisdictional checklists of NIMS compliance activities are located in the supporting materials section of this workbook – see the following:

Section VI. Supporting Materials section – *SEMS/NIMS Implementation Activities Checklist.*

General Requirements

Introduction

The state and territories FY 2006 NIMS requirements issued by DHS cover a wide range of activities from formal adoption of NIMS to interoperability issues. Some of these requirements are oriented toward State OES and Office of Homeland Security activities. This part covers general FY 2006 requirements that state agencies are required to accomplish.

FY 2006 NIMS Requirements

- *Adopt NIMS at the state/territorial level for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs), and private sector incident management and response organizations. (Note: The adoption portion of this requirement for state agencies has been met through the Governor's Executive Order S-02-05 that directs the integration of NIMS into SEMS.)*
- *Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements.*
- *Revise and update plans and SOPs to incorporate NIMS and the National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.*
- *Promote intrastate and interstate mutual aid agreements, to include agreements with the private sector and non-governmental organizations.*

For additional guidance, refer to the Section VI. Supporting Materials

1) *General Requirements Supporting Material*

a. *Sample Resolution*

b. *Checklist for a NIMS – Compliant EOP*

CHECKLIST

GENERAL REQUIREMENTS STATE AGENCY

This Checklist is designed as a guide for meeting the NIMS general requirements. Take the following steps:

Preparedness: Planning

- *Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements.*

Note: OES has identified key state agencies with emergency responsibilities in the State Emergency Plan to complete NIMCAST for their department/agency.

Key State Agencies: Air Resources Board, California Energy Commission, California Department of Forestry and Fire Protection, Emergency Medical Services Authority, Department of Mental Health, Department of Toxic Substances Control, Water Resources Control Board, California Highway Patrol, California Conservation Corps, California Military Department, Department of General Services, Department of Parks and Recreation, Department of Fish and Game, Department of Health Services, Department of Transportation, Department of Social Services, Department of Rehabilitation, Department of Water Resources, Department of Food and Agriculture
If your state agency/department is one of those identified:

- ☐ Complete your NIMCAST assessment.
 - ☐ Maintain a copy of your NIMCAST assessment.
 - ☐ Designate a single POC to complete and submit your NIMCAST.
 - ☐ Obtain password from State OES.
 - ☐ Complete NIMCAST assessment using the online tool.
- *Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.*
- ☐ Complete agreements for mutual assistance with private sector emergency response agencies.
 - ☐ Complete agreements for mutual assistance with non-governmental organizations for emergency support.
 - ☐ Develop private sector vendor lists.

Preparedness: Exercises

- *Participate in an all-hazard exercise training program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.*
- ☐ Develop or participate in a state agency exercise program that involves multiple disciplines and jurisdictions.

Emergency Operations Plans

Introduction

State, local, and tribal governments are required to revise and update plans and Standard Operating Procedures (SOPs) to coordinate all federal preparedness funding to implement the NIMS. To ensure the full integration of the NIMS with SEMS, the emergency management community must incorporate NIMS into their planning efforts, including Emergency Operations Plans.

FY 2006 NIMS Requirements

- *Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.*
- *Develop state plans for the receipt and distribution of resources as outlined in the NRP (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement.*

California Specific program guidance for Emergency Operations Plans

State, local, and tribal governments should use the EOP checklist in the supporting document section of this workbook (Section VI: Supporting Materials); this checklist was released by OES in September 2005. This checklist is compatible with the two guidance documents released by DHS in January 2006 - "Local and Tribal NIMS Integration" and "State NIMS Integration."

It should be noted that the glossary contained in the DHS guidance documents contains terms that are different from terms defined in by California regulation. Since SEMS establishes specific requirements, including definitions that are not necessarily compatible with some material presented in NIMS guidance, caution should be used when updating glossaries to ensure that there is no conflict with SEMS until any necessary changes in SEMS documents are made.

State OES will be reviewing and revising the State Emergency Plan in the context of NIMS, the National Response Plan (NRP), and the National Preparedness Goal (NPG), and will determine if any changes need to be made.

The California system of SEMS along with training, exercises, activations, and general practices (indicated by after action reports) demonstrates compliance with the intent of the items in the EOP checklist.

References

Emergency Planning Guidance for Local Government, January 1999 (Available on OES website at

<http://www.oes.ca.gov/Operational/OESHome.nsf/Content/E539B39F0396DBFC88256C2A00628101?OpenDocument>)

State NIMS Integration: Integrating the National Incident Management System into State Emergency Operations Plans and Standard Operating Procedures, January 2006 (Available at <http://www.fema.gov/nims/>)

State and Local Guide (SGL) 101: Guide for All-Hazard Emergency Operations Planning, September 1996 (Available at <http://www.fema.gov/rrr/gaheop.shtml>)

For additional guidance, refer to the Section VI. Supporting Materials

1) General Requirements Supporting Material

a. Sample Resolution

b. Checklist for a NIMS – Compliant EOP

After Action/Corrective Action

Introduction

The SEMS Technical Group established the After Action/Corrective Action (AA/CA) SEMS Specialist Committee to address the NIMS requirements for After Action/Corrective Actions and plans within the framework of SEMS. Products developed by this committee will be for use by state, local, and tribal governments in order to support efforts towards NIMS compliance.

FY 2006 NIMS Requirements

Corrective actions are an integral part of the preparedness activities in NIMS, which require corrective actions. The requirements for FY 2006 are to:

- *Incorporate corrective actions into preparedness and response plans and procedures.*
- *Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.*

California-specific program guidance for After Action/Corrective Action

The California Emergency Services Act (ESA), section 8607 and the SEMS [section 8607.2 (4)(f)] regulations require After Action reporting from involved State and local agencies within 120 days after each declared disaster.

SEMS regulations require an After Action Report (AAR) for all declared emergencies. This requirement applies only to state agencies and local government agencies seeking reimbursement from the State for personnel-related response costs. The SEMS regulations do not specify corrective actions (CA), although the SEMS Guidelines do address “areas for improvement.”

The SEMS statute and implementing regulations are written broadly enough to encompass AARs and NIMS requirements for corrective actions without any additional regulatory changes. The SEMS Guidelines serve as the primary resource for after action reports and corrective actions to assist those organizations in carrying out the SEMS regulations.

The SEMS Guidelines will be revised to address After Action reporting for non-declared events, exercises, and training. The revisions will address the identification and tracking of corrective actions. The After Action Report format and template will be revised accordingly.

After Action/Corrective Action

For additional guidance, refer to the Section VI. Supporting Materials

- 1) *After Action/Corrective Action Supporting Material*
 - a. *Revised SEMS Guidelines – After Action/Corrective Action*
 - b. *Key AA/CA Definitions*
 - c. *Sample Reporting Forms*

CHECKLIST

AFTER ACTION/CORRECTIVE ACTION STATE AGENCY

This State Agency Checklist may be used as a guide to assist in addressing FY 2006 NIMS After Action/Corrective Action (AA/CA) compliance requirements. The following steps can be used to develop an AA/CA report for any declared state of emergency or non-declared event, training, exercise, or a pre-identified planned event. For purposes of this checklist, the term “event” will apply to any of these. For declared states of emergency, state agencies are required by SEMS to submit After Action Reports, which include areas for improvement, referred to as Corrective Actions in this document.

- ❑ Designate individual/team to initiate the entire AA/CA process for the event in accordance with ICS organizational structures, doctrine, and procedures.

For Department Operations Center (DOC) or Emergency Operations Center (EOC) activations, the following references to the Documentation Unit apply. For all other events, a less formal structure may be appropriate to carry out the after action/corrective action process.

- ❑ Designate an Emergency Operations Center (EOC) or Department Operations Center (DOC) Documentation Unit. Documentation Unit works under, and reports to, the Planning Section Chief. (Follow SEMS/NIMS structure.)
- ❑ Documentation Unit Lead passes all event documentation to the AA/CA Point of Contact (POC), the staff responsible for the development of the AA/CA Report.
- ❑ Identify all organizations involved in the event, exercise, or training.
- ❑ Establish a reporting system to collect after action and corrective action information from all organizations involved in the event/exercise or training.
- ❑ Develop a timeline or work plan for completing the AA/CA Report.
- ❑ Establish an AA/CA Report Team, as necessary, to assist in the AA/CA Report development process.
- ❑ Using the selected reporting mechanism (e.g., written survey/briefing or hotwash), initiate development of the AA/CA report.
- ❑ Conduct AA/CA Hot Wash involving all those activated or participating in the event.
- ❑ Send out AA/CA Report survey to those personnel who could not attend the AA/CA Hot Wash.
- ❑ Develop draft AA/CA Report using the compiled information/data from the Hot Wash and the completed AA/CA Report surveys.
- ❑ Identify all points of contact for each organization that will receive the AA/CA Report.

- ❑ Establish suspense dates throughout the process for completing and forwarding AA/CA Reports to meet compliance deadlines.
- ❑ For declared states of emergency, forward AA/CA Reports to State OES HQ point of contact.
- ❑ Develop a mechanism or planning tool to track identified corrective actions or lessons learned.
- ❑ Track the identified corrective action status through its completion or implementation, and document the completion date.

After Action/Improvement Plan reporting for federally funded exercises:

- ❑ For federally funded exercises follow the applicable grant guidelines/conditions.

Resource Management

Introduction

An integral part of NIMS is the ability to rapidly provide mutual aid. Resource typing supports mutual aid through a common nationwide typing of key resources to ensure the same type of resource requested is provided. This nationwide typing effort was undertaken at the NIMS Integration Center (NIC) with participation of discipline-specific experts from all jurisdictional levels. The result is a listing of 120 resources by discipline accessible at the NIMS website (www.fema.gov/emergency/nims/index.shtm). This list will be expanded at the direction of the NIC on their schedule. Suggested additions can be provided to the NIC via the website listed above. The current list and types by discipline includes:

- Animal Protection (7 teams)
- Incident Management (22 types)
- Emergency Medical Services (6 types)
- Fire/Hazardous Materials (19 types)
- Health and Medical Resources (9 types)
- Law Enforcement (6 types)
- Public Works (34 types)
- Search and Rescue (17 types)

FY 2006 NIMS Requirements

- *Inventory state response assets to conform to homeland security resource typing standards.*

California specific Resource Management

As with any attempt toward national standardization, there will be regional differences, such as definitions or terms used to identify specific resources. To address these differences, as they apply to California, there is a glossary provided in the Supporting Documents section of this document. The glossary cross-lists the 120 listed with the California definition first followed by the corresponding NIMS definition.

Process

It is important to establish some assumptions prior to initiating the inventorying of resources by the 120 types. These may include:

- Some resources may be used by more than one of the disciplines that NIMS has listed. This may result in different terms for the same resource. There is no known remedy for this.
- Do not "read into" the material. Only identify those 120 typed resources that are in your inventories that meet the exact descriptions.
- Only identify those resources listed in the 120 that you have and maintain. The list is simply a list; it does not imply that you should or should not have the resource.

- There are some resources that reside only at the state level. Some disaster assistance resources teams such as Individual and Public Assistance are examples of resources that are state-only.
- If a resource exceeds the minimum capability described but does not meet the minimum capabilities of the next higher type, then the resource should count under the lower level type.
- The Emergency Manager, no matter how experienced, should not be the only person involved in the typing of inventory. They may be unaware of volunteer or private sector resources or resources shared among disciplines on a day-to-day basis.
- Take into account when identifying your resources that some may be counted more than once if they are shared resources among different jurisdictions or disciplines. Or they may consist of individuals that serve on more than one "team" such as a search and rescue team and a Specialized Weapons and Tactics (SWAT) team. Double-counting may happen and there may be no way to avoid it.
- Available resources do not exclude those that may be used by more than one discipline or team. If mutual aid/state agency coordination is capable to assemble and deliver the resources for a strike team/task force, then that resource capability is to be counted.
- Resources that are not functional should not be counted.
- Resident Disaster Medical Assistance Team (DMAT) teams are not to be counted as state assets since they are only available for a federally declared disaster.
- In examining your inventories to determine whether you have any of the 120 types, include resources that exceed the minimum requirements described in NIMS.
- Some of the resources identified in the 120 types are federal resources, not found in state and local inventories.
- Private and volunteer resources should only be counted by those jurisdictions that have written agreements that list the jurisdiction having priority usage.

Work Groups

To facilitate the best assessment of inventorying the 120 types, a workgroup should complete the task. The work group should at least include representatives from the eight different "disciplines" represented in the initial NIMS 120 type groups. To round this out, the addition of volunteer, private sector, and non-governmental organizations (NGOs) could assist in a comprehensive assessment.

Resource Characteristics

When determining if you have a team, take the following into consideration:

- Teams should be counted by the organization that "owns" or "controls" it. This would be the organization that dispatches the team.
- There are some teams that are ad hoc and assembled from a multitude of jurisdictions and disciplines. They should be counted only by the agency that dispatches to minimize double counting.
- Teams composed of state, federal, local government assets.
- Private Sector teams can only be counted by the organization that controls them.

- Having the team is different from having the capability through mutual aid of acquiring a team.
- Written agreements between agencies may be used to create teams, but written agreements alone do not constitute a team.
- The ability to deploy resources does not constitute a team. A team must meet NIMS requirements.
- State and/or federal control of the team does not constitute a local government team.

For additional guidance, refer to the Section VI. Supporting Materials

1) Resource Management Supporting Material

- a. Resource Typing Comments Form*
- b. Listing of the 120 Resources by Discipline*
- a. California/NIMS Cross-Reference Glossary of 120 Typed Resources*
- b. Resource Inventory Data Sheet*

CHECKLIST

RESOURCE REQUIREMENTS STATE AGENCY

This Checklist is designed as a guide for meeting the NIMS resource requirements. Take the following steps:

- ❑ Assemble department heads, private sector agencies, volunteer and nongovernmental organizations within your jurisdiction who have clearly defined emergency management responsibilities to work through the following items:
- ❑ List the 120 resources that are under your control and available within your jurisdiction.
- ❑ Forward updated information to State OES.
- ❑ Develop resource inventory.
- ❑ Forward your completed inventories to State OES.
- ❑ Update and maintain the completed inventories of resources identified on the NIMS listing.

Volunteer/Service Programs & Non Governmental Organizations

Introduction

For both to be fully effective, NGOs and volunteer/service programs (VSPs) must be integrated with government emergency management—during all emergency management phases and at all governmental levels. The human side of a disaster poses extraordinary challenges for emergency managers who face such issues as special needs populations, language and cultural diversity, coordination of volunteer resources, and management of unsolicited donations. When NGOs and VSPs are included in emergency management structures and processes, they can and will respond, bringing with them valuable information, resources, and expertise.

Treating NGOs and VSPs simply as resources undervalues what they bring to the response table. Many have the ability to take on specific roles that can be relied on—if appropriate training, resources and activation protocols are provided. In many cases, they have the ability to deliver a needed service to the community faster, better and more appropriately than government can.

NGOs and VSPs should also be included in decision-making. Because of their unique perspective, they provide an important piece of the disaster puzzle. Whether the topic is mass care, public information, or evacuation, they have specific knowledge that will enhance the quality and appropriateness of decisions. Moreover, participation in joint decisions by NGOs will provide the latter with critical and timely information, enabling them to make better decisions about their own actions and deployment of resources.

FY 2006 NIMS Requirements

- *Adopt NIMS at the state/territorial, level for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations.*
- *Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.*

California Specific Guidance

To develop a bi-directional process that includes the appropriate NIMS/SEMS protocols which ensure integration of personnel, resources and information from non-governmental organizations, and volunteer, voluntary and national service organizations into emergency management and ensures effective coordination before, during and after response to an event.

- NGO and volunteer and national service personnel are to be integrated in the emergency response program in all phases of emergency management: preparedness, mitigation, response, and recovery.
- NGO and volunteer and national service sector personnel and resources provide response capabilities, not just logistical support.
- NGO and volunteer and national service sector personnel are to be included in the decision-making process at all levels of response, e.g., in the appropriate liaison, agency rep, multi-agency and operations roles.

Even without specific requirements, the recommendation is to integrate NGOs and VSPs as aggressively as possible. Given the attention being paid to lessons learned from Hurricane Katrina, there is a strong likelihood that many of the following strategies will be required in the future:

- Planning for the coordination of volunteer resources with a Volunteer Center or other organization or agency;
- Planning for management of unsolicited donations with Voluntary Organizations Active in Disaster (VOAD) and faith-based organizations; and,
- Coordination with 2-1-1 or Information and Referral Provider for compiling and disseminating information about community resources.

For additional guidance, refer to the Section VI. Supporting Materials

1) Private Sector Supporting Material

- a. Volunteer Group and NGO*
- b. Volunteer/Service Programs*
- c. Networks of Voluntary Organizations and Volunteer Programs*
- d. Interaction/Integration Listing of Topics & Issues for Local Government*
- e. Placement of Voluntary Organizations and Volunteer Programs in the Emergency Response Organization*
- f. Strategies for Integration of NGOs and Volunteer/Service Programs (Chart)*
- g. Best Practices/Examples of NGO and VSP Integration with Government*
- h. NGO & VSP Trends and Issues*

CHECKLIST

VOLUNTEER/SERVICE PROGRAMS (VSP) & NON-GOVERNMENTAL ORGANIZATIONS (NGO) STATE AGENCY

This Checklist is designed as a guide for meeting the NIMS Volunteer/Service Programs (VSP) and NGOs requirements. Take the following steps:

- ❑ Include:
 - 1) NGO and VSP representatives as part of an emergency or disaster council or committee; and
 - 2) Identify partnerships with NGOs and VSPs.
- ❑ Update organization charts for emergency or disaster council in formal documentation and inclusion in the Emergency Operations Plan (or equivalent documents).
- ❑ Revise or update Emergency Operations Plan to identify how NGOs and VSPs are included in the SEMS/NIMS response structure at the state level.
- ❑ By action:
 - 3) Show invitation to NGOs and VSPs to programs that promote education on SEMS/NIMS;
 - 4) Show letter or other documentation that supports willful communication with these organizations to become educated on SEMS/NIMS; and,
 - 5) Show letter or other documentation that informs these same organizations to reach out to OES or the NIMS web site and take IS 700 and 800.
- ❑ Establish or update agreements to reflect integration of NGO and VSP resources. Include notes on use of the SEMS/NIMS protocols in response.
- ❑ Establish or update memoranda of understanding with NGO and VSP resources. Include notes on the use of the SEMS/NIMS protocols in response.

Introduction

These materials were developed to help create a bi-directional process that includes the appropriate SEMS/NIMS protocols to ensure integration of personnel, resources and information from private sector businesses and organizations into the public sector emergency management system and enhance effective coordination before, during and after response to an event. This effort addresses an area that has received limited resources for inclusion in the existing SEMS. By involving the private sector in the development of these processes, full integration should be enhanced.

FY 2006 NIMS Requirements

- *Adopt NIMS at the state/territorial, level for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations.*
- *Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.*

California Specific Guidance

At the January 26, 2006 SEMS Advisory Board, the following policy statements were verbalized:

- Include private sector personnel in all phases of emergency management: preparedness, response, recovery, and mitigation.
- Include private sector personnel and resources in response capabilities, not just logistical support, at all five SEMS levels; that is, field, local, operational, regional, and state.
- Include methods for the private sector to provide input in the decision-making process at all levels of response, e.g., in the appropriate liaison, agency representative, multi-agency and operations roles.
- State agencies should evaluate their emergency management policy regarding the potential inclusion of the private sector into the agency emergency management planning arena.

For additional guidance, refer to the Section VI. Supporting Materials section

1) Private Sector Supporting Material

- Volunteer Group and NGO*
- Volunteer/Service Programs*
- Networkd of Voluntary Organizations and Volunteer Programs*
- Interaction/Integration Listing of Topics & Issues for Local Government*
- Placement of Voluntary Organizations and Volunteer Programs in the Emergency Response Organization*
- Strategies for Integration of NGOs and Volunteer/Service Programs (Chart)*
- Best Practices/Examples of NGO and VSP Inegration with Government
NGO & VSP Trends and Issues*

CHECKLIST
PRIVATE SECTOR
STATE AGENCY

- ❑ Include:
 - 1) Private sector representatives as part of the agency emergency planning committees.
 - 2) Partnerships with private sector groups.
- ❑ Revise or update Emergency Operations Plan to identify how the private sector is included in the SEMS/NIMS response structure at the state level.
- ❑ By action:
 - 1) Show invitation to outside associations, utilities, and private sector groups to programs that promote education on the use of SEMS/NIMS in this jurisdiction's emergency management program.
 - 2) Show letter or other documentation that supports willful communication with these same groups to become educated on SEMS/NIMS and the agency's plans to integrate private sector emergency response efforts with that of the agency's public sector response efforts.
 - 3) Show letter or other documentation that encourages these same groups to reach out to OES or the NIMS web site and take IS 700 and 800.
- ❑ Establish or update agreements to reflect integration of private sector resources. Include notes on use of the SEMS/NIMS protocols in response.
- ❑ Establish or update memorandums or memos of understanding with local private resources. Include notes on the use of the SEMS/NIMS protocols in response.

Training and Exercises

Introduction

To the maximum extent possible, federal agencies, states, territories, tribes and local entities are encouraged to achieve full NIMS implementation and institutionalization across the entire response spectrum. State agencies, tribal, and local governments play an important role in the implementation of the National Incident Management System (NIMS). To ensure the full integration of the NIMS with California's Standardized Emergency Management System (SEMS), the emergency management community must participate in a number of training activities. Those training activities are delineated by an individual's responsibility during an emergency event and are required in a phased approach. Training to be completed by the end of FFY 2006 are outlined below.

FY 2006 NIMS Requirements

- *Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum. (This training guidance is available from the OES website, at www.oes.ca.gov then click on SEMS/NIMS).*
- *Institutionalize the use of the Incident Command System;*
- *Complete ICS 100 and ICS 200 training; go to www.oes.ca.gov; then click on [training matrix](#) for to determine who should take which courses by emergency responsibility.*
- *Complete IS 700 NIMS Awareness course and IS 800 National Response Plan course go to www.oes.ca.gov; then click on [training matrix](#) to determine who should take which courses by emergency responsibility.*
- *Incorporate NIMS/ICS into all exercises, to include drills, tabletops, functional and full-scale exercises.*

California Specific Guidance

Under California Code of Regulations, Title 19, Section 2428, state and local government agencies must determine the level of SEMS instruction for their staff based upon the staff member's potential assignment during an emergency and must ensure their personnel can demonstrate and maintain minimum performance objectives contained in the SEMS Approved Course of Instruction (ACI). The SEMS Training and Exercise Specialist Committee is responsible for overseeing the development of curriculum focusing on integrating NIMS with SEMS.

For additional guidance, refer to the Section VI. Supporting Materials

- 1) Training Requirements Supporting Material – Matrix
 - a. Matrix
 - b. SEMS/NIMS Instructor Certification & Qualification Program Recommendations

CHECKLIST

TRAINING REQUIREMENTS STATE AGENCY

This Checklist is designed as a guide for meeting the SEMS and NIMS training requirements. The Training Matrix within the Supporting Materials section specifies training by emergency responsibilities. Take the following steps:

- ❑ IS 700: Determine who in your organization should take IS 700 NIMS Awareness
- ❑ IS 800: Determine who in your organization should take IS 800 Introduction to the National Response Plan.
- ❑ ICS 100: Determine who in your organization should take ICS 100
- ❑ ICS 200: Determine who in your organization should take ICS 200
- ❑ Incorporate NIMS/ICS into all State and regional training and exercises.
- ❑ Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.
- ❑ Standardized Emergency Management System Approved Course of Instruction courses: Determine who in your organization should take which SEMS course(s).
 - ❑ Self-certification: Follow your agency's current procedures for documenting training and issuing certificates. It is recommended that a SEMS training record-keeping system include:
 - 1) An individual training record for each person, kept either in their personnel file or in a separate training record file. The name of the course, instructor, location, and date should be included in the training record.
 - 2) Maintenance of the individual training record for as long as the person is employed in a position that involves an emergency response role. Records of personnel involved in an actual emergency should be kept at least until any training compliance issues have been resolved.
 - 3) Documentation of the agency's SEMS training program, including copies of the training materials used, such as; instructor syllabus, lesson plans, participant manuals, exercises, and tests.
 - ❑ Exercise Guidance
 - Continue to incorporate SEMS and NIMS into all training and exercises. Exercises should be all hazard and include drills, tabletops, functional, and full scale.
 - Exercise participants should be trained prior to participating in an exercise.
 - All those who may be tasked during an emergency participate in at least one exercise per year. Real event participation would supersede the one exercise per year recommendation.
 - Develop a long term exercise plan that includes all NIMS components
 - Include an after action/corrective action plan for each exercise
 - Submit scenarios (simulated or real events) to State OES to augment the cache of scenarios for future use.

Interoperability

Introduction

It has become increasingly clear to the public safety community that communications and interoperability cannot be solved by any one entity alone. The solution will require a partnership among public safety organizations at all levels and the communications industry in its various forms. The collaborative effort will be necessary to address, among other items:

- Legacy equipment issues
- Limited funding to replace outdated systems, and
- Inadequate radio spectrum (channels or frequencies)

Common communications and data standards and related testing and compliance mechanisms are fundamental to an effective NIMS. Standardized communications during an incident are essential and NIMS prescribes interoperable communications systems for both incident and information management.

Emergency responders and managers across all agencies and jurisdictions must have a common operating picture for a more efficient and effective incident response. Effective communications outside the incident structure—between other levels of government and between government and private entities—for resources and other support is also enhanced by adherence to such standards. Although much progress has been made in these areas, much more work remains to be done. Additional progress toward common communications and data standards and systems interoperability will be accomplished over time through a sustained collaborative effort facilitated by the NIMS Integration Center.

FY 2006 NIMS Requirements

- *To the extent permissible by state and local law, ensure that relevant national standards and guidance to achieve equipment, communication, and data interoperability are incorporated into state and local acquisition programs.*
- *Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.*

California Specific Requirements

The ability of California's public safety agencies to communicate with each other and share information electronically during emergencies is limited because of the different systems used by the various responding agencies. The resolution of these problems is generally described in the term interoperability.¹

The NIMS implementation throughout state, relative to interoperability, will occur through the California Statewide Interoperability Executive Committee (CALSIEC) and the Public Safety Radio Strategic

¹ Interoperability refers to the ability of public safety emergency responders to work seamlessly with other systems or products without any special effort. Interoperable communications specifically refers to the ability of public safety officials to share information on demand, in real time, when needed, and as authorized. There are several specific areas which will require on-going attention to further develop and ensure interoperability for California's first responders.

- Voice communication systems – particularly public safety radio
- Wireless network systems
- Systems to integrate data among agencies
- Systems to disseminate emergency information to responders and the public

The NIMS implementation throughout state, relative to interoperability, will occur through the California Statewide Interoperability Executive Committee (CALSIEC) and the Public Safety Radio Strategic Planning Committee (PSRSPC) Committees collaboration, community outreach and strategic planning reports.

Voice Communications

In the area of voice communications, local and state agencies either have obsolete communication equipment or have invested in communication systems for local/regional use with little planning for statewide collaboration. This highly visible voice interoperability issue continues to be examined by the two key radio communication committees led by OES, the CALSIEC, representing various levels of government and tribal nations, and the Public Safety PSRSPC, made up of key state agencies.

CALSIEC

The CALSIEC develops and maintains the agreements that define practices for the use of interoperability channels. It functions as part of the SEMS/NIMS. CALSIEC was established and operates under a Federal Communications Commission charter to the states to administer that portion of the 700 MHz band designated as interoperability spectrum. California already had an existing structure in OES to administer other existing state and federally designated interoperability spectrum within the context of the Master Mutual Aid system. Building on that structure, the Director of OES chartered CALSIEC in 2003 to combine existing efforts and to provide a single body to administer all interoperability spectrum in California.

CALSIEC's structure follows the model recommended by the FCC. The recommendations recognized California's then-existing methods of administering the state's mutual aid channels, such as the California Law Enforcement Mutual Aid Radio System (CLEMARS) Executive Committee as examples of successful collaborations of local, state, and federal agency representation.

PSRSPC

The Public Safety Radio Strategic Planning Committee (PSRSPC) was established by the Public Safety Communications Act of 2002 (Government Code section 8592 et seq.). The PSRSPC was established as a state government committee to address the issue of state agency public safety communications system modernization, and to promote interoperability.

The following state agencies are members of the PSRSPC:

- The California Highway Patrol
- The Department of Corrections
- The Department of Fish and Game
- The Department of Forestry and Fire Protection
- The Department of General Services
- The Department of Justice

- The Department of Parks and Recreation
- The Department of Transportation
- The Department of Water Resources
- The Emergency Medical Services Authority
- The Governor's Office of Emergency Services
- The Governor's Office of Homeland Security

(Note: The list of agencies may change based on Legislative action.)

In order to achieve the objectives of the Public Safety Communications Act of 2002, the Committee has gathered information on existing public safety communications and related collaborative efforts. PSRSPC has also heard from several local and regional programs and professional organizations representing public safety interests.

Both the CALSIEC and PSRSPC Committees will facilitate with the integration of NIMS requirements throughout state, while working towards improving California's interoperability capabilities. The committees will be reviewing and updating previous work efforts in this area, and will be developing a process for forward migration to meet the needs of California's public safety agencies.

Emergency Alert and Warning

An acceptable communication alert and warning system requires the ability to communicate in a disaster and effectively warn the public. Communications interoperability and redundancy standards are critical to a system's success. An emergency alert and warning program requires emergency operations plans, standard operating procedures, checklists, and instructional guides, as they relate to various hazards in the identified jurisdiction. A training and exercise program for emergency management/response personnel and public officials is necessary in accordance with NIMS requirements. To successfully disseminate information to the public before, during and after a disaster event, a crisis communication and information systems should follow the NIMS model, which includes system standards, operating plans and procedures, as well as training and exercise programs.

In California, Local Emergency Communications Committees and a Statewide Emergency Communications Committee help manage the relationships among government agencies and the electronic media to ensure prompt public alerts and warnings.

For additional guidance, refer to the Section VI. Supporting Materials

1) Interoperability Supporting Material

CHECKLIST

INTEROPERABILITY REQUIREMENTS STATE AGENCY

Voice Communications

Much work has been done by SAFECOM, an established national organization, and its federal partners in defining the requirements that public safety agencies should adopt. More specifically, the PSRSPC and CALSIEC endorse the “Statement of Requirements for Public Safety Wireless Communications and Interoperability” released by the Department of Homeland Security. It is the Committees’ recommendation that any public safety communications equipment purchased by agencies within the State follow the Statement of Requirements document released by SAFECOM.

In accordance with the Urban Area Security Initiative (UASI) guidance for funding, UASI cities were required to adopt a Tactical Interoperable Communication Plan. All ten identified California UASI cities are in the final stages of complying with this requirement. Over the next several years these plans will be developed for the balance of the state.

This Checklist is designed as a guide for meeting the NIMS interoperability requirements. Take the following steps:

- ❑ Establish standard and consistent terminology (in plain English) across the public safety sector.
- ❑ Accomplish compliance with the National SAFECOM standard of Requirements.
- ❑ Produce a Tactical Interoperable Communications Plan (TICP) in conjunction with agency’s immediate Mutual Aid Partners. (Currently, only required for UASI cities.) (*Note: CALSIEC is in the process of incorporating existing plans into the development of a statewide interoperability plan and, recommends local jurisdictions provide their plans as input. UASIs receiving grant funding from DHS are required to submit their TICP to Homeland Security by May 1, 2006.*)
- ❑ Document the use of state managed mutual aid and interoperability frequencies with official Letters of Agreement with DGS and/or OES.
- ❑ Use state managed mutual aid and interoperability frequency for compliance with the following applicable plans:
 - 1) Statewide Mutual Aid Radio System Plan (SMARS)
 - 2) California Law Enforcement Mutual Aid Radio System Plan (CLEMARS)
 - 3) California On-Scene Emergency Coordination Radio Plan (CALCORD)
 - 4) FIREScope VHF Radio 32 Channel Plan

Emergency Alert & Warnings Communications

- ❑ Ensure the agency’s Emergency Alert and Warning Program is in compliance with Local and State Emergency Alert System Plans.
- ❑ Ensure the agency’s Emergency Alert and Warning Program makes use of the Emergency Digital Information Service.

Public Information

Introduction

The SEMS provides for a structural method of sharing emergency or disaster related public information in a coordinated, accurate, and timely manner. This system of passing along coordinated public information through the Public Information Officer is an established part of California emergency management. The SEMS structure identifies the Information Officer/Public Information Officer as part of Command/Management at the Incident Command Post (ICP) or Emergency Operations Center (EOC) respectively. In the Incident Command System the Public Information Officer reports directly to the Incident Commander. The Public Information Officer serves as the primary point of contact between the EOC or the ICP and the media and the public. The Public Information Officer will prepare information releases, brief media representatives, and provide for press conferences. Normally, the Public Information Officer function will also oversee the Rumor Control activity.

In emergencies and disasters involving multiple jurisdictions and federal responders, a Joint Information Center (JIC) may be established to coordinate information releases from a central point in close proximity to the incident.

FY 2006 NIMS Requirements

- *Institutionalize, within the framework of ICS, the Public Information System, comprising of the Joint Information System (JIS) and a Joint Information Center (JIC). The Public Information System will ensure an organized, integrated, and coordinated mechanism to perform critical emergency information, crisis communications and public affairs functions which is timely, accurate, and consistent. These includes training for designated participants from the Governor's office and key state agencies.*

California Specific Guidance

Within SEMS the Information Officer at the field level (ICS) is referred as the Public Information Officer at the EOC level. Consistent with SEMS, information flow and coordination follows from the field to the Department Operations Center (DOC) or local government EOC to the Operational Area (OA) EOC, to the OES Region to the State OES to FEMA (federal level) and back down the same route. This ensures consistency and accuracy in information releases.

In Incidents of National Significance, specific hazard responses such as nuclear power plant emergencies, and large incidents involving multiple jurisdictions and federal responders, a Joint Information Center (JIC) may be established to coordinate information releases from a central point in close proximity to the incident. Under such circumstances jurisdictions will need representation at the JIC.

For additional guidance, refer to the Section VI. Supporting Materials

1) Public Information Supporting Material

CHECKLIST

PUBLIC INFORMATION REQUIREMENTS STATE AGENCY

This Checklist is designed as a guide for meeting the NIMS Public Information requirements. Take the following steps:

- ❑ Establish through procedures, standard operating procedures (SOPs), and executive direction, a Public Information position and respective duties for EOC activation.
- ❑ Ensure that Public Information follows SEMS procedures and protocols consistent with the jurisdiction.
- ❑ Public Information duties that expand beyond a single individual may be accomplished through the use of assistance. Assistants could be established for such sub-functions as:
 - 1) Information Gathering
 - 2) Media Center
 - 3) Rumor Control
 - 4) Joint Information Center (JIC)
 - 5) Print media dissemination
 - 6) Broadcast media dissemination
- ❑ Ensure departments include in their plans, procedures, and field response guides, an Information Officer position and essential duties.
- ❑ Establish thresholds for activation of a JIC.
- ❑ Revise plans and procedures to ensure that a JIC representative is identified with defined scope of authority and procedures.
- ❑ Coordinate training to include Public Information training with federal agencies, other state agencies, OES headquarters, regions, and operational areas.
- ❑ Ensure that the agency's Public Information are coordinated but not subsumed by an activated JIC.
- ❑ Ensure that the Public Information Officer Position and JIC concept are included in exercises and training.
- ❑ Ensure Public Information Officer and staff receive training and refreshers appropriate to their position.